

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

Application Number	10655346
Filing Date	2003-09-04
First Named Inventor	Bala Dutt
Art Unit	2171
Examiner Name	Unknown
Attorney Docket Number	5681-14900

**U.S. PATENTS**

Examiner Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear
AC	1	6496828		2002-12-27	Cochrane, et al.	
	2	6579679		2003-02-11	Devireddy, et al.	
	3	6704737		2004-03-09	Nixon, et al.	
	4	6981221		2005-12-27	Neudeck, et al.	
	5	5335343		1994-08-02	Lampson, et al.	
	6	6272675		2001-08-07	Schrab, et al.	
	7	7134008		2006-11-07	Dutt, et al.	
	8	7165061		2007-01-16	K, et al.	

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

Application Number	10655346
Filing Date	2003-09-04
First Named Inventor	Bala Dutt
Art Unit	2171
Examiner Name	Unknown
Attorney Docket Number	5681-14900

A-C.	9	7082432		2006-07-25	Bhogi, et al.	
	10	6421661		2002-07-16	Doan, et al.	
	11	4502116		1985-02-26	Fowler, et al.	
	12	6728958		2004-04-27	Klein, et al.	
	13	6041354		2000-03-21	Biliris, et al.	
	14	6338112		2002-01-08	Wipfel, et al.	
	15	6105067		2000-08-15	Batra, Virinder Mohan	
	16	6154787		2000-11-28	Ureving, et al.	
	17	7065563		2006-06-20	Islam, et al.	
	18	5586312		1996-12-17	Johnson, et al.	
✓	19	6157927		2000-12-05	Schaefer, et al.	

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

Application Number	10655346
Filing Date	2003-09-04
First Named Inventor	Bala Dutt
Art Unit	2171
Examiner Name	Unknown
Attorney Docket Number	5681-14900

	20					
	21					

If you wish to add additional U.S. Patent citation information please click the Add button.

**U.S.PATENT APPLICATION PUBLICATIONS**

Examiner Initial*	Cite No	Publication Number	Kind Code <sup>1</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
A.C.	1	20030033398		2003-02-13	Carlson, et al.	
	2	20050055324			Dutt,et al.	
	3	20040172385		2004-09-02	Vikram Dayal	
	4	20030055968		2003-03-20	Hochmuth, et al.	
	5	20030036919		2003-02-20	Felt, et al.	
	6	20030046342		2003-03-06	Felt, et al.	

If you wish to add additional U.S. Published Application citation information please click the Add button.

**FOREIGN PATENT DOCUMENTS**

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

Application Number	10655346
Filing Date	2003-09-04
First Named Inventor	Bala Dutt
Art Unit	2171
Examiner Name	Unknown
Attorney Docket Number	5681-14900

Examiner Initial*	Cite No	Foreign Document Number <sup>3</sup>	Country Code <sup>2</sup> i	Kind Code <sup>4</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear	T <sup>5</sup>
	1							<input type="checkbox"/>

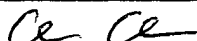
If you wish to add additional Foreign Patent Document citation information please click the Add button

**NON-PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>5</sup>
A.C.	1	Manolis Marazakis, "Distributed Systems", University of Crepe; Sept. 2002, pp.1-31.	<input type="checkbox"/>

If you wish to add additional non-patent literature document citation information please click the Add button

**EXAMINER SIGNATURE**

Examiner Signature		Date Considered	12/19/07
--------------------	---	-----------------	----------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> See Kind Codes of USPTO Patent Documents at [www.USPTO.GOV](http://www.USPTO.GOV) or MPEP 901.04. <sup>2</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>3</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>4</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Applicant is to place a check mark here if English language translation is attached.

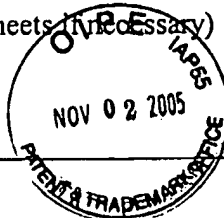
**Form PTO-1449** (modified)

List of Patents and Publications

For Applicant's Information

Disclosure Statement

(Use several sheets if necessary)



ATTY. DOCKET NO: 5681-14900

SERIAL NO: 10/655,346

APPLICANT: Dutt et al.

FILING DATE: September 4, 2003

GROUP: 2171

**U.S. PATENT DOCUMENTS**

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
A.C.		6,246,737	6/01	Flanagan, et al.			
↓		5,630,081	5/97	Rybicki, et al.			
		2002/0124083	9/02	Jeyaraman, et al.			

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

A.C.	B1	Oracle9i JDBC Developer's Guide and Reference (March 2002, retrieved from <a href="http://www.stanford.edu/dept/itss/docs/oracle/9i/java.920/a96654/toc.htm">http://www.stanford.edu/dept/itss/docs/oracle/9i/java.920/a96654/toc.htm</a> on 9/6/05).
↓	B2	Kannegaard (J2EE BluePrints, March 20, 2000 retrieved from <a href="http://java.sun.com/blueprints/guidelines/designing_enterprise_applications/apmTOC.html">http://java.sun.com/blueprints/guidelines/designing_enterprise_applications/apmTOC.html</a> on 9/6/05).

EXAMINER: *Cc Ch*

DATE CONSIDERED: 12/19/07

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner.

**Form PTO-1449** (modified)

List of Patents and Publications  
For Applicant's Information  
Disclosure Statement  
(Use several sheets if necessary)

ATTY. DOCKET NO: 5681-14900

SERIAL NO: 10/655,346

APPLICANT: Dutt et al.

FILING DATE: September 4, 2003

GROUP: 2171

**U.S. PATENT DOCUMENTS**

EXAM. INITIAL S	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
A.C.	A31	6,873,995	3/29/05	Benson			
↓	A32	6,862,573	3/1/05	Kendall et al.			
↓	A33	6,854,646	2/15/05	Ieshima et al.			
↓	A34	6,832,238	12/14/04	Sharma et al.			

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

A.C.	A35	BEA WebLogic Enterprise 5.1," BEA Systems, Inc., 2000, (13 Pages)
↓	A36	"Simplified Guide to the Java TM 2 Platform Enterprise Edition," Sun Microsystems, Inc., 1999, (13 Pages)
↓	A37	Dogac et al., "METU Interoperable Database System," Demo Description, In Proc. Of ACM Sigmod Intl. Conf. On Management of Data, June 1996, (6 Pages)

EXAMINER: *Ce Ce*DATE CONSIDERED: *12/19/07*

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner.

<b>Form PTO-1449</b> (modified) List of Patents and Publications For Applicant's Information Disclosure Statement (Use several sheets if necessary)			ATTY. DOCKET NO: 5681-14900		SERIAL NO: 10/655,346		
			APPLICANT: Dutt et al.				
			FILING DATE: September 4, 2003		GROUP: 2171		
<b>U.S. PATENT DOCUMENTS</b>							
EXAM. INITIAL S	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
A.C.	A16	2005/0066155	3/24/05	Dutt et al.			/
	A17	2005/0015425	1/20/05	Kumar et al.			
	A18	2005/0015353	1/20/05	Kumar et al.			
	A19	2004/0153450	8/5/04	Venugopal Rao K. et al			
	A20	2004/0153383	8/5/04	Venugopal Rao K. et al			
	A21	2004/0153349	8/5/04	Venugopal Rao K. et al			
	A22	2004/0215894	8/5/04	Bhogi et al.			
	A23	2004/0216109	10/28/04	Bhogi et al.			
<b>OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)</b>							
A.C.	A24	"Interface DataSource," DataSource (Java 2 Platform, SE v1.4.1), 2002, (1 Page)					
	A25	"Initial Context," JNDI 1.2.1 Specification: Class Initial Context, <a href="http://java.sun.com/products/jndi/1.2/javadoc/javax/naming/InitialContext.html">http://java.sun.com/products/jndi/1.2/javadoc/javax/naming/InitialContext.html</a> , July 14, 1999, (1 Page)					
	A26	"JNDI - Java™ Naming & Directory Interface™", Sun Microsystems, Inc., <a href="http://java.sun.com/jndi">http://java.sun.com/jndi</a> , May 15, 2003, (2 Pages)					
	A27	"iPlanet Application Server 6.0 Administration Guide: Chapter 9 Administering Transactions," <a href="http://docs.sun.com/source/816-5784-10/adtrans.htm">http://docs.sun.com/source/816-5784-10/adtrans.htm</a> , September 5, 2000, (11 Pages)					
	A28	Breitbart et al., "Replication and Consistency Being Lazy Helps Sometimes," PODS '97, June 1997, (Pages 173-184)					
	A29	Patricia Serrano-Alvarado et al. "Mobile Transaction Supports for DBMS". In 17ièmes Journées Bases de Données Avancées, Agadir, Maroc, October 2001, (19 Pages)					
	A30	Efficient and Flexible Methods for Transient Versioning of Records to Avoid Locking by Read-Only Transactions," 1992 ACM SIGMOD, June 1992, (Pages 124-133)					
EXAMINER: <i>Ce Ce</i>				DATE CONSIDERED: <i>12/19/07</i>			
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner.							

**Form PTO-1449** (modified)

List of Patents and Publications

For Applicant's Information

Disclosure Statement

(Use Reference sheets if necessary)

ATTY. DOCKET NO: 5681-14900

SERIAL NO: 10/655,346

APPLICANT: Dutt et al.

FILING DATE: September 4, 2003

GROUP: 2171

**U.S. PATENT DOCUMENTS**

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
A.C.	A1	6,421,688	7/16/02	Song			
	A2	5,504,899	4/2/96	Raz			
	A3	5,504,900	4/2/96	Raz			
	A4	5,701,480	12/23/97	Raz			
	A5	6,442,618	8/27/02	Phillips et al.			
	A6	6,038,587	3/14/00	Phillips et al.			
	A7	2005/0088413	5/6/04	Bhogi et al.			
✓	A8	2004/0215473	10/28/04	Bhogi et al.			

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

A.C.	A9	Liu et al., "Designing a Test Suite for Empirically-based Middleware Performance Prediction," Australian Computer Society, Inc., (2002), (8 Pages)					
	A10	"Java™ 2SDK, Enterprise Edition 1.3.1 Configuration Guide," <a href="http://java.sun.com/j2ee/sdk_1.3/techdocs/release/ConfigGuide.html">http://java.sun.com/j2ee/sdk_1.3/techdocs/release/ConfigGuide.html</a> , January 3, 2002, (16 Pages)					
	A11	Ellis et al., "JDBC™ 3.0 Specification – Final Release," Sun Microsystems, Inc., October 2001, (190 pages)					
	A12	"iPlanet Application Server 6.0 Administration Guide: Chapter 4 Logging Server Messages," <a href="http://docs.sun.com/source/816-5720-10/adlog.htm">http://docs.sun.com/source/816-5720-10/adlog.htm</a> , September 5, 2000, (21 Pages)					
	A13	"JDBC™ Data Access API – The JDBC API Universal Data Access for the Enterprise," <a href="http://java.sun.com">java.sun.com</a> , August 10, 2003, (5 Pages)					
	A14	"Connection Pooling," Advanced Programming for the Java 2 Platform, August 16, 2002, (4 Pages)					
✓	A15	Siva Visveswaram, "Manage Access to Shared, Server-Side Resources for High Performance - Dive Into Connection Pooling with J2EE," JavaWorld, October 2000, (8 Pages)					

EXAMINER:

*CC*

DATE CONSIDERED:

12/19/07

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner.